Approved for use through 19/30/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. Under the Paperwork 09/935,563 **Application Number** August 22, 2001 Filing Date **FORM** Jeff Farnsworth First Named Inventor (to be used for all correspondence after initial filing) Group Art Unit 1756 Not yet assigned **Examiner Name** Total Number of Pages in This Submission Attorney Docket Number 42390P12085 6 **ENCLOSURES** (check all that apply) After Allowance Communication Assignment Papers (for an Application) to Group Fee Transmittal Form Appeal Communication to Board of Appeals and Interferences Fee Attached Drawing(s) Amendment / Response Appeal Communication to Group Licensing-related Papers (Appeal Notice, Brief, Reply Brief) After Final Petition Proprietary Information Affidavits/declaration(s) Petition to Convert a Provisional Application Status Letter **Extension of Time Request** Other Enclosure(s) Power of Attorney, Revocation Change of Correspondence Address (please identify below): **Express Abandonment Request Terminal Disclaimer** Information Disclosure Statement Request for Correction of Filing Receipt; Copy of Filing Certified Copy of Priority Document(s) Request for Refund Receipt; and Return Recept Postcard Response to Missing Parts/ Incomplete Application CD, Number of CD(s) BEST AVAILABLE COPY MAY OR AGENT Remarks Response to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT William Thomas Babbitt, Reg. No. 39,591 Firm Individual name BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN Signature Date April / 2002 CERTIFICATE OF MAILING (OR TRANSMISSION) I hereby certify that this correspondence is being deposited with the United State of estal Service as First Class mail with sufficient postage in an envelope addressed to: Patents, Washington, D.C. 20231 on: April 12, 2002

Margaux Rodrignez Typed or printed name Signature April に

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form stolled be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.





API	2 2 2002 Under the Part work Reduction Act of 1995, no persons are required to	Approved for use through 10/31/2002. OMB 0651-003 Patent and Trademark Office: U.S. DEPARTMENT OF COMMERC to respond to a collection of information unless it displays a valid OMB control numbe					
	FEE TRANSMITTAL	Complete if Known					
	Under the Pale Nork Reduction Act of 1995, no persons are required to FEE TRANSMITTAL ADEMAN FOR FY 2002 Petent fees are subject to annual revision.	Application Number	09/935,563 08/22/01 Jeff Farnsworth, et al.				
		Filing Date					
L	Petent fees are subject to annual revision.	First Named Inventor					
	Applicant claims small entity status. See 37 CFR 1.27	Examiner Name	Not yet assigned				
┢	TOTAL AMOUNT OF PAYMENT (\$)	Group Art Unit	1756				
l		Attorney Docket Number	42390P12085				

METHOD OF PA		FEE CALCULATION (continued)					
Check Credit	one 3.	3. ADDITIONAL FEE					
	Order —		Entity	7			
Deposit Account		Fee	Fee	Fee Code	Fee	Fee Description	Fee Paid
Deposit Account	02-2666	Code 105	٠,	205	٠,	Curchama tota filing for an act	
Number Deposit	02-2000	127				Surcharge - late filing fee or oath	——I
Account Blakel	y, Sokoloff, Taylor & Zafman] '''	30	221	25	Surcharge - late provisional filing fee or cover sheet.	1 1
Name Diakery, sokolott, Taylor & Zatthan		139	120	139	120	Non-English specification	1
The Commissioner is authorized to: (check all that apply)						For filing a request for ex parte reexamination	
Charge fee(s) indicated below Credit any overpayments				112		Requesting publication of SIR prior to	
Charge any additional fee(s) during the pendency of this application			320	' ' 2	320	Examiner action	
application.	stand balance assemble as the still as de-	113	1 840	113	1 840	Requesting publication of SIR after	
Charge fee(s) indicated below, except for the filing fee, to the above-identified deposit account			1,040	113	1,040	Examiner action	
FFF	CALCULATION	115		215		Extension for response within first month	$\vdash \vdash \mid \mid$
		116		216		Extension for response within second month	<u> </u>
1. FILING FEE		117		217		Extension for response within third month	
Large Entity Small E	ntity		,			Extension for response within fourth month	
Fee Fee Fee F	• • • • • • • • • • • • • • • • • • • •	4.0	1,960			Extension for response within fifth month	
Code (\$) Code (\$)	119		219		Notice of Appeal	
101 740 201 37	70 Utility filing fee	120		220		Filing a brief in support of an appeal	7/
106 330 206 16	55 Design filing fee	121	280			Request for oral hearing	
107 510 207 25	55 Plant filing fee	138	1,510	i		Petition to institute a public use proceeding	3
108 740 208 37	70 Reissue filing fee	140		240		Petition to revive - unavoidably	12
114 160 214 8	30 Provisional filing fee		1,280	}		Petition to revive - unintentionally	
SUPTOTAL (1) (6)			1,280			Utility issue fee (or reissue)	
SUBTOTAL (1) (\$)						Design issue fee	
2. CLAIMS	Fee from	144	620			Plant issue fee	
Fotal Claims	Extra below Fee P	aid 122 123	130	122		Petitions to the Commissioner	1
Total Claims - = X =			50	123		Petitions related to provisional applications	
Jiaims	~x=	126	180	126		Submission of Information Disclosure Strnt	
Multiple Dependent Cl	aims = L	581	40	581	40	Recording each patent assignment per property (times number of properties)	
Large Entity Small Er	•	146	740	246	370		1
Fee Fee Fee Fe	•	140	740	270	3/0	Filing a submission after final rejection (37 CFR 1.129(a))	
Code (\$) Code (\$	•	149	740	249	370	For each additional invention to be	
103 18 203	9 Claims in excess of 20	1			5,0	examined (37 CFR 1.129(b))	
	42 Independent claims in excess of 3	179	740	279	370	Request for Continued Examination (RCE)	
	40 Multiple Dependent claim	169	900	169	900	Request for expedited examination	
109 84 209	42 Reissue independent claims over original patent					of a design application	
over original patent 110 18 210 9 Reissue claims in excess of 20			r fee (s _l	pecify)		
and over original patent					A		
SUB			34	-	SUBTOTAL (3) (\$)		
"or number previously paid, i	* Reduce	ed by Bas	c ing	Fee Paid	305101AE (3) ((3)		
SUBMITTED BY	· · · · · · · · · · · · · · · · · · ·	-	4	-	-	Complete (if applie	cable)
	No. 39,501	Re (At	gistrati tomey/	on No. Agent)	Telephone (310) 20		
r integration	William & Bri	let	[Date 4///0	

WARNING: Information on this form may recome public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments of the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patient and Trademark Office, Washington, DC 20231. DO NOT SENDIFEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patients, Box Patient Application, Washington, DC 20231.

COPY OF PAPERS ORIGINALLY FILED

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Jeff Farnsworth, et al.

Serial No. 09/935,563

Filed: August 22, 2001

For: EXPOSED PHASE EDGE MASK

METHOD FOR GENERATING PERIODIC STRUCTURES WITH SUBWAVELENGTH FEATURE

Examiner: To Be Assigned

Art Unit: 1756

TOO SOUSED REQUEST FOR CORRECTION OF FILING RECEIPT

Assistant Commissioner for Patents Office of Initial Patent Examination Customer Service Center Washington, D.C. 20231

Dear Sir:

We have received a Filing Receipt for the above-identified U.S. Patent Application (copy enclosed). Upon our review, we have discovered that the one of the inventors' names is incorrect. The receipt should be corrected to read as follows:

> "JEFF FARNSWORTH, LOS GATOS, CA; WEN HAO CHENG, FREMONT, CA; BRIAN IRVINE, MOUNTAIN VIEW, CA; CHIEN CHIANG, FREMONT, CA; ALICE WANG, MILPITAS, CA; GINA WU, SANTA CLARA, CA "

Please correct your records to reflect the correct spelling of the inventor's name, and send us a corrected filing receipt.

AVAILABLE COPY

If there are any additional charges, please charge them to Account No. 02-2666. A duplicate copy of the Fee Transmittal sheet is enclosed. Please direct all communications regarding this matter to the undersigned.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN

Date: April , 2002.

William Thomas Babbitt, Reg. No. 39,591

12400 Wilshire Boulevard Seventh Floor Los Angeles, California 90025 (310) 207-3800 CERTIFICATE OF MAILING:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231 on April 12, 2002.

Margaux Rodriguez

April 12, 2002

BEST AVAILABLE COPY

2





TRADEMARK OFFICE

UNITED STATES PATENT AND TRADEMARK OFFICE BLAKELY, SOKUTURFONTAXED BOS ZAFMAN

ANGENTE Spto.gov APPLICATION NUMBER FILING DATE **GRP ART UNIT** FIL FEE REC'D ATTY DOCKET NO DRAWINGS TOT CLAIMS 09/935,563 08/22/2001 1756 908 42390.P12085

> **CONFIRMATION NO. 8859 CORRECTED FILING RECEIPT**

Date Mailed: 04/03/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Chun M. Ng

Seventh Floor

12400 Wilshire Boulevard Los Angeles, CA 90025-1026

> Jeff Farnsworth, Los Gatos, CA: RECEIVED Wen Hao Cheng, Fremont, CA: -Brain Irvine, Mountain View, CA; Brian Irvine, Mountain View, CA; Chien Chiang, Fremont, CA; 2¹² - 3. 社 (1017) Alice Wang, Milpitas, CA: Gina Wu, Santa Clara, CA: 5.5. I.Z. UNIABASE DEPT

Domestic Priority data as claimed by applicant

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Foreign Applications

If Required, Foreign Filing License Granted 09/25/2001

Projected Publication Date: 02/27/2003

Non-Publication Request: No

Early Publication Request: No

Title

Exposed phase edge mask method for generating periodic structures with subwavelength feature